
RECORDS MANAGEMENT PROGRAM

SURVEY REPORT OF THE

INCENTIVE AWARDS STAFF

PREPARED BY

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RECORDS MANAGEMENT DIVISION
MANAGEMENT STAFF

I PROBLEM

To conduct a Records Management survey covering paper work control, reports, standardization of forms and form letters, records systems employed and the establishment of a records control schedule.

II INTRODUCTION

The Incentive Awards Program in CIA is under the Direction of the Agency Incentive Awards Board established in compliance with the Government Employees Incentive Awards Act (Title III, Public Law 763, 83rd Congress), for the purpose of improving Agency operations and extending recognition to the employees through the medium of incentive awards.

The committee represents the Director in determining broad policies and procedures governing the administration of this program throughout CIA. The actual responsibility for continuity and day-to-day operation of the Program rests with the Chief, Incentive Awards Staff and the members of his office.

The current organizational structure of the Incentive Awards Staff consists of five (5) positions which have been utilized through the medium of personnel assignments to the authorized table of organization. These positions are as follows:

- 1 - Chief, Incentive Awards Staff
- 1 - Assistant Incentive Awards Officer
- 1 - Incentive Awards Assistant
- 1 - Clerk Stenographer
- 1 - Clerk Typist

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Recommendation 7

That Employee Suggestions be identified according to subject and maintained by the subject filing system. It is further recommended that a review be conducted of all existing index cards for reevaluation and refiling under aforementioned system.

FINDING NO 5 - The elapsed time required to evaluate employee suggestions is exorbitant.

Comment

1. A review of the Employee Suggestions pending work load revealed an aspect of this staff function which considerable attention should be devoted to. Suggestions, pending due to delay in receipt of an opinion from the evaluating officials, have been outstanding for as long as 3 years. Needless to say the effectiveness of the promotional aspects of the Incentive Awards Program has been greatly effected through these delays. The following are examples of Suggestions, pulled at random, which reflect the above conditions:

Suggestion No.

Date of Release for evaluation

119
140
246
944
1489

9-18-52
3-18-53
4-14-53
5-19-54
7-7-55

2. A review of the suspense or follow file system, with respect to the above comments, indicated that a degree of ineffectiveness has been due to lack of control from the Incentive Awards Staff. There were indications that a form of follow up system did exist at one time; however, examination of the current operations revealed that a uniform established system did not exist.

Recommendation 8

That a follow up system be established on all Suggestions released from the Incentive Awards Staff. That an extra copy of the evaluation request be maintained in a suspense file for follow up purposes at the end of 30 days. (It is further recommended that a list of all outstanding Suggestions be forwarded to the responsible officials for inventory and immediate action.)

FINDING NO 6 - Forms 431, Request for Payment of Case Award, are not processed expeditiously by the Fiscal Division.

Comment

A review of the record system indicated a file series being maintained for follow up and control purposes on outstanding Award checks. The maintenance of this file resulted from the fact that the Fiscal Division is not acting promptly on receipt of form 431. It should be noted this is another in a series of delays which reduces the effectiveness of the Incentive Awards Program. Examples of these delays are as follows:

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<u>Name of Employee</u>	<u>Date of Request</u>	<u>Date check forwarded to IAS</u>
	5-20-55	7-7-55
	5-20-55	6-14-55
	4-26-55	6-5-55
	7-20-55	8-25-55
	9-7-55	Check outstanding

Recommendation 9

It is recommended that a contact be made with the responsible officials in the Fiscal Division to expedite delivery of Award Checks.

FINDING NO 7 - Utilization of forms.

Comment

1. A review was conducted to determine the status of forms utilized by this staff. Most of the recognized techniques of gathering and transmitting information are being used including forms, form letters, "type letters", and pattern paragraphs. Of the above 5 are approved forms and the remainder fall in the category of "type letters".

2. "Type" letters are being utilized extensively due to the variety of information involved in the evaluation and notification processing cycle. It is the opinion of the survey officer that such methods should be continued. Such "type" letters carry that personal touch expressing appreciation which is vital in furthering the promotional aspects of this Program.

3. Improvements (to specific forms) could be made to two specific forms. Members of the Incentive Awards Staff have expressed a desire to have the Certificate of Award redesigned. It is believed that the appearance could be improved through utilizing the established colors in the seal and the lettering printed in blue ink on a white background. Form No. 244, Employees Suggestion Form should be completely revised in that it does not supply the necessary information for the efficient operation of the Incentive Awards Staff.

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4. Notice Number  dated August 26, 1955 will prompt minor changes to all forms and form letters in that it provides among other items that the Incentive Award Committee has been redesignated as Incentive Awards Board.

Recommendation 10

That action be initiated to have the aforementioned forms revised as recommended during this survey. That all forms and form letters requested for reprinting be revised to conform to Notice

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FINDING NO 8 - Establishment of a Records Disposition ScheduleComment

1. Eleven separate file series of records totaling 27.6 linear feet have been inventoried and a records control schedule prepared for same (See attachment A). These records occupy filing equipment valued at approximately \$935.06 and consist of one (1) Filing cabinet, ltr., wtl., 5 drawer, one (1) File cabinet, ltr., wtl., insulated 4 drawer combination lock, and three (3) File cabinets, legal, insulated 4 drawer combination.

2. One filing cabinet, ltr., wtl., 5 drawer, (\$59.00) and one file cabinet legal insulated 4 drawer combination (\$237.39) can be released through the application of the aforementioned recommendations. Additional cabinet space will be available through the application of the attached records control schedules.

3. 5.4% or 1.5 linear feet of records have been appraised as having permanent value. 94.6% or 26.5 linear feet have been appraised as having temporary value and scheduled for destruction while maintained in current files space or after retirement to the Records Center.

Recommendations 11 and 12

11. That an active Records Disposition Program be established in accordance with the Records Disposal Schedule.
12. That a review be conducted of the activity of the Incentive Awards case folders during their third year of retention with the ultimate objective of reducing this retention period to a maximum of 2 years.

FINDING NO 9 - Reports ManagementComment

The reports submitted by this office consists of an annual report to the U. S. Civil Service Commission on SF 69, Government Employees' Incentive Awards Program; an annual and quarterly report, in narrative form, to DDS; and a weekly progress and accomplishment report to the office of the Management Staff. A cursory analysis of this activity indicates that the necessary records are being maintained to supply the requested information. These reports appear sufficient to relate the pertinent information to determine maximum program effectiveness.

Recommendation

None

FINDING NO 10 - Operational effectiveness could be improved through application of sound management techniques.

Comment

1. It was observed during this survey that Incentive Awards Officers were performing clerical duties which were not commensurate with their assigned positions. The clerical personnel did not have a clear understanding as to the assignment of their duties. As mentioned previously much of this ineffectiveness resulted from the record systems that were in effect. In view of the above it was observed that the employees in the office of the Chief were not discharging their responsibilities with respect to investigating where back logs existed; control of suggestions being evaluated; promoting and publicizing and directing the Program as originally intended. The survey officer does not wish to imply that such functions ceased receiving the attention of the responsible officers; but that the man hours devoted to the above and specifically publicity and promotion should be increased to the extent of monopolizing the majority of the Chief's duty hours, and to a lesser extent those of the Assistant Incentive Awards Officer.

2. The development of a work process chart with respect to flow of work in this operation revealed a definite need for the delegation of authority to Assistant Incentive Awards Officer.

Recommendations 14, 15, 16, 17, and 18

14. Issuance of the proposed position descriptions and assignment of duties commensurate to these positions.
15. That written job requirements be issued to clarify assignments and effectiveness of duties performed.
16. That authority be delegated to the Assistant Incentive Awards Officer to assume the responsibility and sign outgoing memos and correspondence.
17. That the Assistant Incentive Awards Officer devote a larger portion of his duty hours to investigate backlogs, assist evaluating officials and promote the Awards Program.
18. Recommend the Chief, Incentive Awards Staff devote the major portion of his time to directing the Incentive Awards Program with emphasis on the publicity and promotion of this activity.

IV Conclusions

1. The present workload is expected to continue at its recent rapid increase as a result of additional efforts to promote and publicize the Program; in addition to acquaint supervisors throughout the Agency with this method of stimulating morale and improving management of Agency operations. A cursory analysis of the pending workload reveals an alarming situation; however the past two weeks have indicated a decided improvement in the reduction of this pending workload. If this rate were to continue this operation could be operating on a current basis in approximately 12 weeks. A breakdown for the month of September follows:

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